

FORM PTO-1390
(REV 07-2005)

ATTORNEY DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

4439-4041

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.52)
TBA 10/574056INTERNATIONAL APPLICATION
PCT/JP2004/014474INTERNATIONAL FILING DATE
01 October 2004 (01.10.2004)PRIORITY DATE CLAIMED
02 October 2003 (02.10.03)

TITLE OF INVENTION

METHOD FOR PRODUCING ESTER CONDENSED PRODUCT

APPLICANT(S) FOR DO/EO/US

Kazuaki ISHIHARA and Hisashi YAMAMOTO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected. (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto (Specification: 32 pgs.; Claims: 6 pgs.; Abstract: 1 pg.; and 1 Sheet of Formal Drawing (Fig. 1)).
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form PTO-1449, with a copy of all cited references.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821-1.825 with the paper copy of the sequence listings: 7 pgs. and Sequence Listing Statement.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or Information:

Copies of: PCT Request document; Forms: PCT/RO/106; PCT/ISA/202; PCT/ISA/210; PCT/ISA/220; PCT/ISA/237; PCT/IB/301; PCT/IB/304; PCT/IB/308; PCT/IB/311 and published PCT application Publication Number WO 2005/033060 A1, published on 14 April 2005.

U.S. APPLICATION NO. (If known, see 37 CFR 1.51)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NO.	
TBA		PCT/JP2004/014474		4439-4041	
				CALCULATIONS	PTO USE ONLY
The following fees have been submitted					
21.	<input checked="" type="checkbox"/> Basic national fee.....	\$300		\$ 300	
22.	<input checked="" type="checkbox"/> Examination fee				
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of					
PCT Article 33 (1)-(4).....			\$0		
All other situations			\$200	\$ 200	
23.	<input checked="" type="checkbox"/> Search fee				
If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of					
PCT Article 33(1) - (4)			\$0		
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....			\$100		
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB			\$400		
All other situations			\$500	\$ 400	
TOTAL OF 21, 22 and 23 =				\$ 900	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250.00	\$-----	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$-----	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	32 - 20 =	- 12	x \$50.00	\$ 600	
Independent claims	2 - 3 =	- 0	x \$200.00	\$-----	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$ 360	
TOTAL OF ABOVE CALCULATIONS =				\$ 1,860	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
SUBTOTAL =				\$ 1,860	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	
TOTAL NATIONAL FEE =				\$ 1,860	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	
TOTAL FEES ENCLOSED =					
				Amount to be refunded:	\$
				Amount to be charged:	\$
<p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>13-4500 (Order No. 4439-4041)</u> in the amount of \$<u>1,860</u> to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-4500 (Order No. 4439-4041)</u>.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Enter Address Here Morgan & Finnegan, L.L.P. 3 World Financial Center New York, New York 10281-2101 Tel: (212) 415-8700 Fax: (212) 415-8701</p> <p style="text-align: right;">Signature <u>Michael A. Willis</u> <u>Kenneth H. Sonnenfeld / Michael A. Willis</u> Name Registration Nos: 33,285 / 53,913 REGISTRATION NUMBER</p>					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**IAP5 Rec'd PCT/PTO 29 MAR 2006**Applicant(s): **Kazuaki ISHIHARA and Hisashi YAMAMOTO**

Group Art Unit: TBA

Serial No.: TBA

Examiner: TBA

Filed: HEREWITH

For: **METHOD FOR PRODUCING ESTER CONDENSED PRODUCT****EXPRESS MAIL CERTIFICATE**

Mail Stop PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Attention: DO/EO/US

Express Mail Label No.: EV 826876131 US

Date of Deposit: March 29, 2006

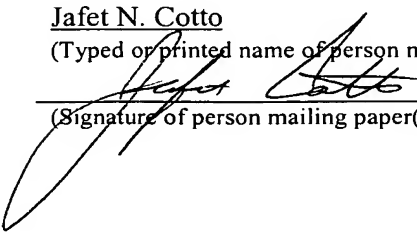
I hereby certify that the following attached paper(s) and/or fee

- a. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. § 371, duly executed (2 pages);
- b. A copy of the published international application under 35 U.S.C. § 154(d)(4); Publication No. WO 2005/033060;
- c. English Translation of the International Application (Specification: 32 pgs.; Claims: 6 pgs.; Abstract: 1 pg.; and Drawings: Sheets - Fig. 1);
- d. Other Items: Copies of: PCT Request document; Forms: PCT/RO/106; PCT/ISA/202; PCT/ISA/210; PCT/ISA/220; PCT/ISA/237; PCT/IB/301; PCT/IB/304, PCT/IB/308; PCT/IB/311; ;
- e. Information Disclosure Statement;
- f. Forms PTO-1449A and PTO-1449B with copy of all cited references; and
- g. A return receipt postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, Attention: DO/EO/US.

Jafet N. Cotto

(Typed or printed name of person mailing papers(s) and/or fee)


(Signature of person mailing paper(s) and/or fee)Correspondence Address:

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